

# EXHIBIT 3

AO 120 (Rev. 08/10)

<b>TO:</b> <div style="text-align: center;"> <b>Mail Stop 8</b>  <b>Director of the U.S. Patent and Trademark Office</b>  <b>P.O. Box 1450</b>  <b>Alexandria, VA 22313-1450</b> </div>	<b>REPORT ON THE FILING OR DETERMINATION OF AN ACTION REGARDING A PATENT OR TRADEMARK</b>
--	---

In Compliance with 35 U.S.C. § 290 and/or 15 U.S.C. § 1116 you are hereby advised that a court action has been  
 filed in the U.S. District Court EASTERN DISTRICT OF TEXAS MARSHALL DIVISION on the following  
☐ Trademarks or ☒ Patents. ( ☐ the patent action involves 35 U.S.C. § 292.):

DOCKET NO. 2:21-cv-463	DATE FILED 12/20/2021	U.S. DISTRICT COURT EASTERN DISTRICT OF TEXAS MARSHALL DIVISION
PLAINTIFF  NETLIST, INC.		DEFENDANT  Samsung Electronics Co., Ltd., Samsung Electronics America, Inc. Samsung Semiconductor, Inc.
PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK
1 10,860,506	12/8/2020	Netlist, Inc.
2 10,949,339	3/16/2021	Netlist, Inc.
3 11,016,918	5/25/2021	Netlist Inc.
4		
5		

In the above—entitled case, the following patent(s)/ trademark(s) have been included:

DATE INCLUDED	INCLUDED BY <input type="checkbox"/> Amendment <input type="checkbox"/> Answer <input type="checkbox"/> Cross Bill <input type="checkbox"/> Other Pleading	
PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK
1		
2		
3		
4		
5		

In the above—entitled case, the following decision has been rendered or judgement issued:

DECISION/JUDGEMENT
--------------------

CLERK	(BY) DEPUTY CLERK	DATE
-------	-------------------	------

Copy 1—Upon initiation of action, mail this copy to Director    Copy 3—Upon termination of action, mail this copy to Director  
 Copy 2—Upon filing document adding patent(s), mail this copy to Director    Copy 4—Case file copy

AO 120 (Rev. 08/10)

<b>TO:</b> <div style="text-align: center;"> <b>Mail Stop 8</b>  <b>Director of the U.S. Patent and Trademark Office</b>  <b>P.O. Box 1450</b>  <b>Alexandria, VA 22313-1450</b> </div>	<b>REPORT ON THE FILING OR DETERMINATION OF AN ACTION REGARDING A PATENT OR TRADEMARK</b>
--	---

In Compliance with 35 U.S.C. § 290 and/or 15 U.S.C. § 1116 you are hereby advised that a court action has been filed in the U.S. District Court EASTERN DISTRICT OF TEXAS MARSHALL DIVISION on the following

☐ Trademarks or ☒ Patents. ( ☐ the patent action involves 35 U.S.C. § 292.);

DOCKET NO. 2:21-cv-463	DATE FILED 12/20/2021	U.S. DISTRICT COURT EASTERN DISTRICT OF TEXAS MARSHALL DIVISION
PLAINTIFF  NETLIST, INC.		DEFENDANT  Samsung Electronics Co., Ltd., Samsung Electronics America, Inc. Samsung Semiconductor, Inc.
PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK
1 10,860,506	12/8/2020	Netlist, Inc.
2 10,949,339	3/16/2021	Netlist, Inc.
3 11,016,918	5/25/2021	Netlist Inc.
4		
5		

In the above—entitled case, the following patent(s)/ trademark(s) have been included:

DATE INCLUDED	INCLUDED BY <input type="checkbox"/> Amendment <input type="checkbox"/> Answer <input type="checkbox"/> Cross Bill <input type="checkbox"/> Other Pleading	
PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK
1		
2		
3		
4		
5		

In the above—entitled case, the following decision has been rendered or judgement issued:

DECISION/JUDGEMENT
--------------------

CLERK	(BY) DEPUTY CLERK	DATE
-------	-------------------	------

Copy 1—Upon initiation of action, mail this copy to Director    Copy 3—Upon termination of action, mail this copy to Director  
 Copy 2—Upon filing document adding patent(s), mail this copy to Director    Copy 4—Case file copy

Doc Code: TRACK1.REQ

Document Description: TrackOne Request

PTO/AIA/424 (04-14)

# **CERTIFICATION AND REQUEST FOR PRIORITIZED EXAMINATION UNDER 37 CFR 1.102(e) (Page 1 of 1)**

First Named Inventor:	Hyun Lee	Nonprovisional Application Number (if known):	
Title of Invention:	FLASH-DRAM HYBRID MEMORY MODULE		

**APPLICANT HEREBY CERTIFIES THE FOLLOWING AND REQUESTS PRIORITIZED EXAMINATION FOR THE ABOVE-IDENTIFIED APPLICATION.**

1. The processing fee set forth in 37 CFR 1.17(i)(1) and the prioritized examination fee set forth in 37 CFR 1.17(c) have been filed with the request. The publication fee requirement is met because that fee, set forth in 37 CFR 1.18(d), is currently \$0. The basic filing fee, search fee, and examination fee are filed with the request or have been already been paid. I understand that any required excess claims fees or application size fee must be paid for the application.
2. I understand that the application may not contain, or be amended to contain, more than four independent claims, more than thirty total claims, or any multiple dependent claims, and that any request for an extension of time will cause an outstanding Track I request to be dismissed.
3. The applicable box is checked below:

**I. ☒ Original Application (Track One) - Prioritized Examination under § 1.102(e)(1)**

- i. (a) The application is an original nonprovisional utility application filed under 35 U.S.C. 111(a). This certification and request is being filed with the utility application via EFS-Web.  
---OR---  
(b) The application is an original nonprovisional plant application filed under 35 U.S.C. 111(a). This certification and request is being filed with the plant application in paper.
- ii. An executed inventor's oath or declaration under 37 CFR 1.63 or 37 CFR 1.64 for each inventor, or the application data sheet meeting the conditions specified in 37 CFR 1.53(f)(3)(i) is filed with the application.

**II. ☐ Request for Continued Examination - Prioritized Examination under § 1.102(e)(2)**

- i. A request for continued examination has been filed with, or prior to, this form.
- ii. If the application is a utility application, this certification and request is being filed via EFS-Web.
- iii. The application is an original nonprovisional utility application filed under 35 U.S.C. 111(a), or is a national stage entry under 35 U.S.C. 371.
- iv. This certification and request is being filed prior to the mailing of a first Office action responsive to the request for continued examination.
- v. No prior request for continued examination has been granted prioritized examination status under 37 CFR 1.102(e)(2).

Signature /Khaled Shami/	Date Dec. 30, 2020
Name (Print/Typed) Khaled Shami	Practitioner Registration Number 38,745

**Note:** This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4(d) for signature requirements and certifications. Submit multiple forms if more than one signature is required.\*

☐ \*Total of \_\_\_\_\_ forms are submitted.

## Privacy Act Statement

The **Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

<b>Application Data Sheet 37 CFR 1.76</b>		Attorney Docket Number	0016.001000H
		Application Number	
Title of Invention	FLASH-DRAM HYBRID MEMORY MODULE		
<p>The application data sheet is part of the provisional or nonprovisional application for which it is being submitted. The following form contains the bibliographic data arranged in a format specified by the United States Patent and Trademark Office as outlined in 37 CFR 1.76.</p> <p>This document may be completed electronically and submitted to the Office in electronic format using the Electronic Filing System (EFS) or the document may be printed and included in a paper filed application.</p>			

## Secrecy Order 37 CFR 5.2:

<input type="checkbox"/> Portions or all of the application associated with this Application Data Sheet may fall under a Secrecy Order pursuant to 37 CFR 5.2 (Paper filers only. Applications that fall under Secrecy Order may not be filed electronically.)
--

## Inventor Information:

<b>Inventor 1</b>				
<b>Legal Name</b>				
<b>Prefix</b>	<b>Given Name</b>	<b>Middle Name</b>	<b>Family Name</b>	<b>Suffix</b>
	Hyun		Lee	
<b>Residence Information (Select One)</b> <input checked="" type="radio"/> US Residency <input type="radio"/> Non US Residency <input type="radio"/> Active US Military Service				
<b>City</b>	Ladera Ranch	<b>State/Province</b>	CA	<b>Country of Residence <sup>i</sup></b> US
<b>Mailing Address of Inventor:</b>				
<b>Address 1</b>		21 Thalia Street		
<b>Address 2</b>				
<b>City</b>	Ladera Ranch	<b>State/Province</b>	CA	
<b>Postal Code</b>	92694	<b>Country <sup>i</sup></b>	US	
<b>Inventor 2</b>				
<b>Legal Name</b>				
<b>Prefix</b>	<b>Given Name</b>	<b>Middle Name</b>	<b>Family Name</b>	<b>Suffix</b>
	Chi-She		Chen	
<b>Residence Information (Select One)</b> <input checked="" type="radio"/> US Residency <input type="radio"/> Non US Residency <input type="radio"/> Active US Military Service				
<b>City</b>	Walnut	<b>State/Province</b>	CA	<b>Country of Residence <sup>i</sup></b> US
<b>Mailing Address of Inventor:</b>				
<b>Address 1</b>		944 Crystal Water Lane		
<b>Address 2</b>				
<b>City</b>	Walnut	<b>State/Province</b>	CA	
<b>Postal Code</b>	91789	<b>Country <sup>i</sup></b>	US	
<b>Inventor 3</b>				
<b>Legal Name</b>				
<b>Prefix</b>	<b>Given Name</b>	<b>Middle Name</b>	<b>Family Name</b>	<b>Suffix</b>
	Jeffrey	C.	Solomon	pg. 438

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>Application Data Sheet 37 CFR 1.76</b>		Attorney Docket Number	0016.001000H
		Application Number	
Title of Invention	FLASH-DRAM HYBRID MEMORY MODULE		

<b>Residence Information (Select One)</b>		<input checked="" type="radio"/> US Residency	<input type="radio"/> Non US Residency	<input type="radio"/> Active US Military Service
<b>City</b>	Irvine	<b>State/Province</b>	CA	<b>Country of Residence</b> <sup>i</sup>
US				

<b>Mailing Address of Inventor:</b>				
<b>Address 1</b>		6 Silver Fir		
<b>Address 2</b>				
<b>City</b>	Irvine	<b>State/Province</b>	CA	
<b>Postal Code</b>	92604	<b>Country</b> <sup>i</sup>	US	

<b>Inventor 4</b>				
<b>Legal Name</b>				
<b>Prefix</b>	<b>Given Name</b>	<b>Middle Name</b>	<b>Family Name</b>	<b>Suffix</b>
	Scott	H.	Milton	

<b>Residence Information (Select One)</b>		<input checked="" type="radio"/> US Residency	<input type="radio"/> Non US Residency	<input type="radio"/> Active US Military Service
<b>City</b>	Irvine	<b>State/Province</b>	CA	<b>Country of Residence</b> <sup>i</sup>
US				

<b>Mailing Address of Inventor:</b>				
<b>Address 1</b>		49 Statehouse Place		
<b>Address 2</b>				
<b>City</b>	Irvine	<b>State/Province</b>	CA	
<b>Postal Code</b>	92602	<b>Country</b> <sup>i</sup>	US	

<b>Inventor 5</b>				
<b>Legal Name</b>				
<b>Prefix</b>	<b>Given Name</b>	<b>Middle Name</b>	<b>Family Name</b>	<b>Suffix</b>
	Jayesh		Bhakta	

<b>Residence Information (Select One)</b>		<input checked="" type="radio"/> US Residency	<input type="radio"/> Non US Residency	<input type="radio"/> Active US Military Service
<b>City</b>	Cerritos	<b>State/Province</b>	CA	<b>Country of Residence</b> <sup>i</sup>
US				

<b>Mailing Address of Inventor:</b>				
<b>Address 1</b>		12220 Rose Street		
<b>Address 2</b>				
<b>City</b>	Cerritos	<b>State/Province</b>	CA	
<b>Postal Code</b>	90703	<b>Country</b> <sup>i</sup>	US	

All Inventors Must Be Listed - Additional Inventor Information blocks may be generated within this form by selecting the **Add** button.

Add

## Correspondence Information:

<b>Application Data Sheet 37 CFR 1.76</b>		Attorney Docket Number	0016.001000H
		Application Number	
Title of Invention	FLASH-DRAM HYBRID MEMORY MODULE		

Enter either Customer Number or complete the Correspondence Information section below.  
For further information see 37 CFR 1.33(a).

☐ An Address is being provided for the correspondence information of this application.

Customer Number	151145		
Email Address		<input type="button" value="Add Email"/>	<input type="button" value="Remove Email"/>

## Application Information:

Title of the Invention	FLASH-DRAM HYBRID MEMORY MODULE		
Attorney Docket Number	0016.001000H	Small Entity Status Claimed	<input type="checkbox"/>
Application Type			
Subject Matter			
Total Number of Drawing Sheets (if any)	22	Suggested Figure for Publication (if any)	

## Filing By Reference:

Only complete this section when filing an application by reference under 35 U.S.C. 111(c) and 37 CFR 1.57(a). Do not complete this section if application papers including a specification and any drawings are being filed. Any domestic benefit or foreign priority information must be provided in the appropriate section(s) below (i.e., "Domestic Benefit/National Stage Information" and "Foreign Priority Information").

For the purposes of a filing date under 37 CFR 1.53(b), the description and any drawings of the present application are replaced by this reference to the previously filed application, subject to conditions and requirements of 37 CFR 1.57(a).

Application number of the previously filed application	Filing date (YYYY-MM-DD)	Intellectual Property Authority or Country

## Publication Information:

☐ Request Early Publication (Fee required at time of Request 37 CFR 1.219)

☐ **Request Not to Publish.** I hereby request that the attached application not be published under 35 U.S.C. 122(b) and certify that the invention disclosed in the attached application **has not and will not** be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.

## Representative Information:

Representative information should be provided for all practitioners having a power of attorney in the application. Providing this information in the Application Data Sheet does not constitute a power of attorney in the application (see 37 CFR 1.32). Either enter Customer Number or complete the Representative Name section below. If both sections are completed the customer Number will be used for the Representative Information during processing.

Please Select One:	<input checked="" type="radio"/> Customer Number	<input type="radio"/> US Patent Practitioner	<input type="radio"/> Limited Recognition (37 CFR 11.9)
Customer Number	151145	pg. 440	



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>Application Data Sheet 37 CFR 1.76</b>		Attorney Docket Number	0016.001000H
		Application Number	
Title of Invention	FLASH-DRAM HYBRID MEMORY MODULE		

Prefix	<b>Given Name</b>	Middle Name	<b>Family Name</b>	Suffix	<input type="button" value="Remove"/>
Registration Number					
Prefix	<b>Given Name</b>	Middle Name	<b>Family Name</b>	Suffix	<input type="button" value="Remove"/>
Registration Number					
Additional Representative Information blocks may be generated within this form by selecting the <b>Add</b> button.					

### Domestic Benefit/National Stage Information:

This section allows for the applicant to either claim benefit under 35 U.S.C. 119(e), 120, 121, 365(c), or 386(c) or indicate National Stage entry from a PCT application. Providing benefit claim information in the Application Data Sheet constitutes the specific reference required by 35 U.S.C. 119(e) or 120, and 37 CFR 1.78.

When referring to the current application, please leave the "Application Number" field blank.

Prior Application Status		Pending		<input type="button" value="Remove"/>	
Application Number	Continuity Type	Prior Application Number	Filing or 371(c) Date (YYYY-MM-DD)		
	Continuation of	15934416	2018-03-23		
Prior Application Status		Patented		<input type="button" value="Remove"/>	
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)	Patent Number	Issue Date (YYYY-MM-DD)
15934416	Continuation of	14840865	2015-08-31	9928186	2018-03-27
Prior Application Status		Patented		<input type="button" value="Remove"/>	
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)	Patent Number	Issue Date (YYYY-MM-DD)
14840865	Continuation of	14489269	2014-09-17	9158684	2015-10-13
Prior Application Status		Patented		<input type="button" value="Remove"/>	
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)	Patent Number	Issue Date (YYYY-MM-DD)
14489269	Continuation of	13559476	2012-07-26	8874831	2014-10-28
Prior Application Status		Expired		<input type="button" value="Remove"/>	
Application Number	Continuity Type	Prior Application Number	Filing or 371(c) Date (YYYY-MM-DD)		
13559476	Claims benefit of provisional	61512871	2011-07-28		

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>Application Data Sheet 37 CFR 1.76</b>		Attorney Docket Number	0016.001000H
		Application Number	
Title of Invention	FLASH-DRAM HYBRID MEMORY MODULE		

Prior Application Status		Patented	Remove		
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)	Patent Number	Issue Date (YYYY-MM-DD)
13559476	Continuation in part of	12240916	2008-09-29	8301833	2012-10-30

Prior Application Status		Abandoned	Remove		
Application Number	Continuity Type	Prior Application Number	Filing or 371(c) Date (YYYY-MM-DD)		
12240916	Continuation of	12131873	2008-06-02		

Prior Application Status		Expired	Remove		
Application Number	Continuity Type	Prior Application Number	Filing or 371(c) Date (YYYY-MM-DD)		
12131873	Claims benefit of provisional	60941586	2007-06-01		

Additional Domestic Benefit/National Stage Data may be generated within this form by selecting the **Add** button.

## Foreign Priority Information:

This section allows for the applicant to claim priority to a foreign application. Providing this information in the application data sheet constitutes the claim for priority as required by 35 U.S.C. 119(b) and 37 CFR 1.55. When priority is claimed to a foreign application that is eligible for retrieval under the priority document exchange program (PDX) the information will be used by the Office to automatically attempt retrieval pursuant to 37 CFR 1.55(i)(1) and (2). Under the PDX program, applicant bears the ultimate responsibility for ensuring that a copy of the foreign application is received by the Office from the participating foreign intellectual property office, or a certified copy of the foreign priority application is filed, within the time period specified in 37 CFR 1.55(g)(1).

Application Number	Country <sup>i</sup>	Filing Date (YYYY-MM-DD)	Access Code <sup>i</sup> (if applicable)

Additional Foreign Priority Data may be generated within this form by selecting the **Add** button.

## Statement under 37 CFR 1.55 or 1.78 for AIA (First Inventor to File) Transition Applications

This application (1) claims priority to or the benefit of an application filed before March 16, 2013 and (2) also contains, or contained at any time, a claim to a claimed invention that has an effective filing date on or after March 16, 2013.

☐ NOTE: By providing this statement under 37 CFR 1.55 or 1.78, this application, with a filing date on or after March 16, 2013, will be examined under the first inventor to file provisions of the AIA.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>Application Data Sheet 37 CFR 1.76</b>		Attorney Docket Number	0016.001000H
		Application Number	
Title of Invention	FLASH-DRAM HYBRID MEMORY MODULE		

## Authorization or Opt-Out of Authorization to Permit Access:

When this Application Data Sheet is properly signed and filed with the application, applicant has provided written authority to permit a participating foreign intellectual property (IP) office access to the instant application-as-filed (see paragraph A in subsection 1 below) and the European Patent Office (EPO) access to any search results from the instant application (see paragraph B in subsection 1 below).

Should applicant choose not to provide an authorization identified in subsection 1 below, applicant **must opt-out** of the authorization by checking the corresponding box A or B or both in subsection 2 below.

**NOTE:** This section of the Application Data Sheet is **ONLY** reviewed and processed with the **INITIAL** filing of an application. After the initial filing of an application, an Application Data Sheet cannot be used to provide or rescind authorization for access by a foreign IP office(s). Instead, Form PTO/SB/39 or PTO/SB/69 must be used as appropriate.

### 1. Authorization to Permit Access by a Foreign Intellectual Property Office(s)

**A. Priority Document Exchange (PDX)** - Unless box A in subsection 2 (opt-out of authorization) is checked, the undersigned hereby **grants the USPTO authority** to provide the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the State Intellectual Property Office of the People's Republic of China (SIPO), the World Intellectual Property Organization (WIPO), and any other foreign intellectual property office participating with the USPTO in a bilateral or multilateral priority document exchange agreement in which a foreign application claiming priority to the instant patent application is filed, access to: (1) the instant patent application-as-filed and its related bibliographic data, (2) any foreign or domestic application to which priority or benefit is claimed by the instant application and its related bibliographic data, and (3) the date of filing of this Authorization. See 37 CFR 1.14(h)(1).

**B. Search Results from U.S. Application to EPO** - Unless box B in subsection 2 (opt-out of authorization) is checked, the undersigned hereby **grants the USPTO authority** to provide the EPO access to the bibliographic data and search results from the instant patent application when a European patent application claiming priority to the instant patent application is filed. See 37 CFR 1.14(h)(2).

The applicant is reminded that the EPO's Rule 141(1) EPC (European Patent Convention) requires applicants to submit a copy of search results from the instant application without delay in a European patent application that claims priority to the instant application.

### 2. Opt-Out of Authorizations to Permit Access by a Foreign Intellectual Property Office(s)

- ☐ A. Applicant **DOES NOT** authorize the USPTO to permit a participating foreign IP office access to the instant application-as-filed. If this box is checked, the USPTO will not be providing a participating foreign IP office with any documents and information identified in subsection 1A above.
- ☐ B. Applicant **DOES NOT** authorize the USPTO to transmit to the EPO any search results from the instant patent application. If this box is checked, the USPTO will not be providing the EPO with search results from the instant application.

**NOTE:** Once the application has published or is otherwise publicly available, the USPTO may provide access to the application in accordance with 37 CFR 1.14.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>Application Data Sheet 37 CFR 1.76</b>		Attorney Docket Number	0016.001000H
		Application Number	
Title of Invention	FLASH-DRAM HYBRID MEMORY MODULE		

**Applicant Information:**

Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.

**Applicant 1**

If the applicant is the inventor (or the remaining joint inventor or inventors under 37 CFR 1.45), this section should not be completed. The information to be provided in this section is the name and address of the legal representative who is the applicant under 37 CFR 1.43; or the name and address of the assignee, person to whom the inventor is under an obligation to assign the invention, or person who otherwise shows sufficient proprietary interest in the matter who is the applicant under 37 CFR 1.46. If the applicant is an applicant under 37 CFR 1.46 (assignee, person to whom the inventor is obligated to assign, or person who otherwise shows sufficient proprietary interest) together with one or more joint inventors, then the joint inventor or inventors who are also the applicant should be identified in this section.

[Clear](#)

- |   |  |                                      |
|---|--|--------------------------------------|
| <input checked="" type="radio"/> Assignee                                 | <input type="radio"/> Legal Representative under 35 U.S.C. 117         | <input type="radio"/> Joint Inventor |
| <input type="radio"/> Person to whom the inventor is obligated to assign. | <input type="radio"/> Person who shows sufficient proprietary interest |                                      |

If applicant is the legal representative, indicate the authority to file the patent application, the inventor is:

Name of the Deceased or Legally Incapacitated Inventor:

If the Applicant is an Organization check here. ☒

Organization Name  
Netlist, Inc.

**Mailing Address Information For Applicant:**

Address 1	175 Technology Drive		
Address 2	Suite 150		
City	Irvine	State/Province	CA
Country <sup>i</sup>	US	Postal Code	92618
Phone Number		Fax Number	
Email Address			

Additional Applicant Data may be generated within this form by selecting the Add button.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>Application Data Sheet 37 CFR 1.76</b>		Attorney Docket Number	0016.001000H
		Application Number	
Title of Invention	FLASH-DRAM HYBRID MEMORY MODULE		

## Assignee Information including Non-Applicant Assignee Information:

Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.

<b>Assignee 1</b>			
Complete this section if assignee information, including non-applicant assignee information, is desired to be included on the patent application publication. An assignee-applicant identified in the "Applicant Information" section will appear on the patent application publication as an applicant. For an assignee-applicant, complete this section only if identification as an assignee is also desired on the patent application publication.			
If the Assignee or Non-Applicant Assignee is an Organization check here. <input checked="" type="checkbox"/>			
Organization Name	Netlist, Inc.		
<b>Mailing Address Information For Assignee including Non-Applicant Assignee:</b>			
Address 1	175 Technology Drive		
Address 2	Suite 150		
City	Irvine	State/Province	CA
Country i	US	Postal Code	92618
Phone Number		Fax Number	
Email Address			
Additional Assignee or Non-Applicant Assignee Data may be generated within this form by selecting the Add button.			

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>Application Data Sheet 37 CFR 1.76</b>		Attorney Docket Number	0016.001000H
		Application Number	
Title of Invention	FLASH-DRAM HYBRID MEMORY MODULE		

## Signature:

**NOTE:** This Application Data Sheet must be signed in accordance with 37 CFR 1.33(b). **However, if this Application Data Sheet is submitted with the INITIAL filing of the application and either box A or B is not checked in subsection 2 of the "Authorization or Opt-Out of Authorization to Permit Access" section, then this form must also be signed in accordance with 37 CFR 1.14(c).**

This Application Data Sheet **must** be signed by a patent practitioner if one or more of the applicants is a **juristic entity** (e.g., corporation or association). If the applicant is two or more joint inventors, this form must be signed by a patent practitioner, **all** joint inventors who are the applicant, or one or more joint inventor-applicants who have been given power of attorney (e.g., see USPTO Form PTO/AIA/81) on behalf of **all** joint inventor-applicants.

See 37 CFR 1.4(d) for the manner of making signatures and certifications.

<b>Signature</b>	/Khaled Shami/			Date (YYYY-MM-DD)	
First Name	Khaled	Last Name	Shami	Registration Number	38745
Additional Signature may be generated within this form by selecting the Add button.					

Electronic Patent Application Fee Transmittal				
Application Number:				
Filing Date:				
Title of Invention:		FLASH-DRAM HYBRID MEMORY MODULE		
First Named Inventor/Applicant Name:		Hyun Lee		
Filer:		Khaled Shami/Stephanie Semler		
Attorney Docket Number:		0016.001000H		
Filed as Large Entity				
Filing Fees for Track I Prioritized Examination - Nonprovisional Application under 35 USC 111(a)				
Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Basic Filing:</b>				
UTILITY APPLICATION FILING	1011	1	320	320
UTILITY SEARCH FEE	1111	1	700	700
UTILITY EXAMINATION FEE	1311	1	800	800
REQUEST FOR PRIORITIZED EXAMINATION	1817	1	4200	4200
<b>Pages:</b>				
<b>Claims:</b>				
<b>Miscellaneous-Filing:</b>				
PROCESSING FEE, EXCEPT PROV. APPLS.	1830	1	140	140

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
<b>Post-Allowance-and-Post-Issuance:</b>				
<b>Extension-of-Time:</b>				
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>6160</b>



## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	41526926
<b>Application Number:</b>	17138766
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	8804
<b>Title of Invention:</b>	FLASH-DRAM HYBRID MEMORY MODULE
<b>First Named Inventor/Applicant Name:</b>	Hyun Lee
<b>Customer Number:</b>	151145
<b>Filer:</b>	Khaled Shami/Stephanie Semler
<b>Filer Authorized By:</b>	Khaled Shami
<b>Attorney Docket Number:</b>	0016.001000H
<b>Receipt Date:</b>	30-DEC-2020
<b>Filing Date:</b>	
<b>Time Stamp:</b>	21:04:29
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	CARD
Payment was successfully received in RAM	\$6160
RAM confirmation Number	E2020BTL11438211
Deposit Account	602034
Authorized User	Stephanie Semler

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

37 CFR 1.16 (National application filing, search, and examination fees)

37 CFR 1.17 (Patent application and reexamination processing fees)

37 CFR 1.19 (Document supply fees)

37 CFR 1.20 (Post Issuance fees)

37 CFR 1.21 (Miscellaneous fees and charges)

## File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Power of Attorney	NetlistPostAIPOA.pdf	711728	no	1
			e45cea84246703abf611c09bfc51150cafd7cb72		

### Warnings:

The page size in the PDF is too large. The pages should be 8.5 x 11 or A4. If this PDF is submitted, the pages will be resized upon entry into the Image File Wrapper and may affect subsequent processing

### Information:

2	Oath or Declaration filed	0016001000H_InvDec.pdf	448715	no	5
			e3ef024451ed3cd6e1c63ed595c4a0ad7a22b58		

### Warnings:

### Information:

3	Drawings-only black and white line drawings	0016001000H_Drwgs.pdf	4555960	no	22
			10944aad8e0cf3b0b62a67fd9fd555d91238f91a		

### Warnings:

### Information:

4		0016001000H_Application.pdf	579398	yes	83
			655826dcaacfa39c576f09b511b5596571f5251b		

### Multipart Description/PDF files in .zip description

Document Description	Start	End
Specification	1	75
Claims	76	82
Abstract	83	83

### Warnings:

### Information:

5	Power of Attorney	0016001000H_POA_Transmittal.pdf	195754 dc1b846e0e8d107ff5950cc5e22af92bbdb8de18	no	1
<b>Warnings:</b>					
<b>Information:</b>					
6	TrackOne Request	0016001000H_TrackOneRequestForm_aia0424.pdf	129042 5c434a352f92938e97546479f254e9cca34651d5	no	2
<b>Warnings:</b>					
<b>Information:</b>					
7	Application Data Sheet	WebADS.pdf	179961 64330f64bb5b9af022c5c24dd0ba25bc33aeb7eb	no	9
<b>Warnings:</b>					
<b>Information:</b>					
8	Fee Worksheet (SB06)	fee-info.pdf	38288 fa419f8e8f3b24170d0188bb4e59632311ef315b	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			6838846		
<p><b>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</b></p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b>  <b>If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</b></p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b>  <b>If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</b></p> <p><b><u>New International Application Filed with the USPTO as a Receiving Office</u></b>  <b>If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</b></p>					

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## TRANSMITTAL FOR POWER OF ATTORNEY TO ONE OR MORE REGISTERED PRACTITIONERS

NOTE: This form is to be submitted with the Power of Attorney by Applicant form (PTO/AIA/82B) to identify the application to which the Power of Attorney is directed, in accordance with 37 CFR 1.5, unless the application number and filing date are identified in the Power of Attorney by Applicant form. If neither form PTO/AIA/82A nor form PTO/AIA82B identifies the application to which the Power of Attorney is directed, the Power of Attorney will not be recognized in the application.

Application Number	To Be Assigned
Filing Date	To Be Assigned
First Named Inventor	Hyun Lee
Title	FLASH-DRAM HYBRID MEMORY MODULE
Art Unit	To Be Assigned
Examiner Name	To Be Assigned
Attorney Docket Number	0016.001000H

### SIGNATURE of Applicant or Patent Practitioner

Signature	/Khaled Shami/	Date (Optional)	
Name	Khaled Shami	Registration Number	38,745
Title (if Applicant is a juristic entity)			
Applicant Name (if Applicant is a juristic entity)			

**NOTE:** This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4(d) for signature requirements and certifications. If more than one applicant, use multiple forms.

☐

\*Total of \_\_\_\_\_ forms are submitted.

This collection of information is required by 37 CFR 1.131, 1.32, and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**